

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Docket No. 12778US03)

In the Application of:

Saliba

Serial No.: 10/786,196

Filed: February 25, 2004

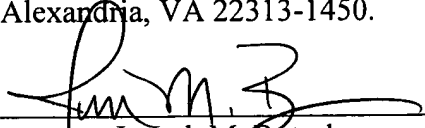
For: Method and Apparatus for Stock and Index  
Option Price Improvement, Participation, and  
Internalization

Examiner: Jagdish N. Patel

Group Art Unit: 3624

**CERTIFICATE OF MAILING**

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Joseph M. Butscher  
Reg. No. 48,326

Date: December 8, 2006

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sirs:

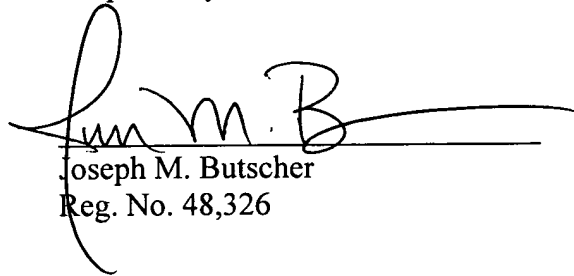
This Information Disclosure Statement supplements the information disclosure statements filed on February 25, 2004, September 9, 2004, and January 6, 2006. Pursuant to 37 C.F.R. § 1.56, it is respectfully requested that the reference listed on the attached PTO form be considered in the examination of the above-identified patent application.

This submission, is in no way intended as an admission that the listed reference constitutes prior art under any subsection of 35 U.S.C. § 102. Applicant expressly retains the right to take any actions necessary to remove the references from the available prior art.

Consideration of the reference in the examination of the present patent application is respectfully requested.

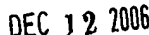
No fee is believed to be due because it is believed that this statement is being filed before the first Office Action on the merits has been mailed by the PTO. Please charge any fees due in connection with this statement to the deposit account of McAndrews, Held & Malloy, Ltd., Account No. 13-0017.

Respectfully submitted,

A handwritten signature in dark ink, appearing to read "J. M. Butscher", is written over a horizontal line. The signature is stylized with a large initial "J" and a prominent "B".

Joseph M. Butscher  
Reg. No. 48,326

Date: December 8, 2006



Approved for use through 09/30/2006. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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*(Use as many sheets as necessary)*

Sheet	1	of	1
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**Complete if Known**

<i>Application Number</i>	10/786,196
<i>Filing Date</i>	February 25, 2004
<i>First Named Inventor</i>	Saliba
<i>Art Unit</i>	3624
<i>Examiner Name</i>	Jagdish N. Patel
<i>Attorney Docket Number</i>	12788US03

[illegible][illegible]

**Examiner  
Signature**

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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